

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.
15115/005001

In Re Application Of: **Hironobu KIYOMOTO, Hayami HOSOKAWA, Naru YASUDA, Kenji HOMMA, and Yukari TERAOKAWA**

Serial No.
09/903,437

Filing Date
July 11, 2001

Examiner

Group Art Unit
3672

Invention: **OPTICAL DEVICE AND APPARATUS USING OPTICAL DEVICE**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on
September 27, 2001
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☐ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☒ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☒ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☒ Other (list):

English translation of the specification
Substitute drawings
Verification of Translation

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15115/005001

In Re Application Of: **Hironobu KIYOMOTO, Hayami HOSOKAWA, Naru YASUDA, Kenji HOMMA, and Yukari TERAKAWA**

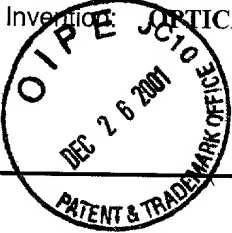
Serial No.
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Group Art Unit

Inventor: OPTICAL DEVICE AND APPARATUS USING OPTICAL DEVICE



TO THE ASSISTANT COMMISSIONER FOR PATENTS:

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- ☒ Completion of application fees as calculated below:

- | | |
|--------------------------------------------------------------------|----------|
| <input checked="" type="checkbox"/> Utility application filing fee | \$740.00 |
|--------------------------------------------------------------------|----------|

- ☐
- Design application filing fee

- ☒ Total number of independent claims = 12 **\$756.00**

- ☒ Total number of claims = 47 \$486.00

- | | |
|---------------------------------------------------------------|-----------------|
| <input checked="" type="checkbox"/> Multiple dependent claims | \$280.00 |
|---------------------------------------------------------------|-----------------|

- | | |
|---------------------------------------------------------------------------------------------------------------------------------|-----------------|
| <input checked="" type="checkbox"/> Surcharge for late payment of filing fee and/or late filing of original declaration or oath | \$130.00 |
|---------------------------------------------------------------------------------------------------------------------------------|-----------------|

- ☐ Petition and fee for filing by other than all the inventors or a person not the inventor

- | | |
|-----------------------------------------------------------------------------------------------------------------------|-----------------|
| <input checked="" type="checkbox"/> Fee for processing an application filed with a non-English language specification | \$130.00 |
|-----------------------------------------------------------------------------------------------------------------------|-----------------|

- ☐
- Fee for processing and retention of application

Total completion of application fees	\$2,522.00
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This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

- ☐ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from:

Date _____

until:

Date _____

Total time extension fees

Total fees due \$2,522.00

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533) (Large Entity)**

Docket No.
15115/005001

In Re Application Of: **Hironobu KIYOMOTO, Hayami HOSOKAWA, Naru YASUDA, Kenji HOMMA, and Yukari TERAOKAWA**

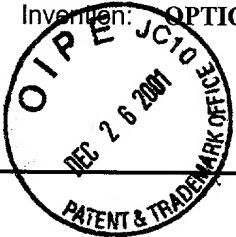
Serial No.
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3672

Invention: **OPTICAL DEVICE AND APPARATUS USING OPTICAL DEVICE**



TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

The fee of **\$2,522.00** is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. **50-0591**
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **50-0591**
A duplicate copy of this sheet is enclosed.

Signature

Dated:

**Jonathan P. Osha, Reg. No. 33,986
ROSENTHAL & OSHA L.L.P.
700 Louisiana Street, Suite 4550
Houston, Texas 77002**

**Telephone: 713-228-8600
Facsimile: 713-228-8778**

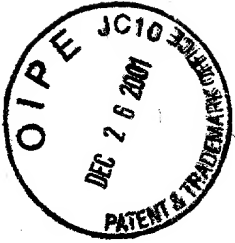
I certify that this document and fee is being deposited on **11-20-2001** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Wendy L. Hippe

Typed or Printed Name of Person Mailing Correspondence

CC:



#5

PATENT
ATTORNEY DOCKET NO. 15115.005001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Hironobu KIYOMOTO et al. Art Unit : 3672
Serial No. : 09/903,437 Examiner :
Filed : July 11, 2001
Title : OPTICAL DEVICE AND APPARATUS USING OPTICAL DEVICE

Assistant Commissioner for Patents
Washington, DC 20231

SUBMISSION OF SUBSTITUTE DRAWINGS

In response to the Notice To File Missing Parts mailed September 27, 2001, please substitute the enclosed one hundred and thirty four (134) sheets of drawings for the corresponding drawings presently in the application.

Please apply any charges or credits to our Deposit Account No. 50-0591, reference Number 15115.005001.

Respectfully submitted,

Date: 11/20/01

Jonathan P. Osha, Reg. No. 33,986

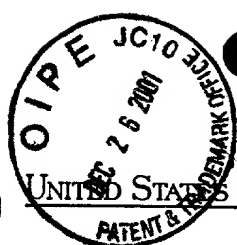
ROSENTHAL & OSHA L.L.P.
700 Louisiana Street, Suite 4550
Houston, TX 77002

Telephone: 713/228-8600
Facsimile: 713/228-8778

22242_1.DOC

Date of Deposit 11-20-2001
I hereby certify under 37 CFR 1.8(a) that this correspondence is being deposited with the U.S. Postal Service as **first class mail** with sufficient postage on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Wendy L. Hippe
Wendy L. Hippe



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D. C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/903,437	07/11/2001	Hironobu Kiyomoto	15115.005001

CONFIRMATION NO. 8917

Rosenthal & Osha L.L.P.
Suite 4550
700 Louisiana
Houston, TX 77002

12/27/2001 SSESHE1 00000042 09903437

01 FC:101
02 FC:103
03 FC:102
04 FC:104
05 FC:105
06 FC:139

740.00 OP
486.00 OP
756.00 OP
288.00 OP
130.00 OP
130.00 OP

FORMALITIES LETTER



OC000000006800239

Adjustment date: 02/08/2002 TV0111
01/22/2002 TV0111 00000002 500591 09903437
01 FC:102 54.00 CR
02 FC:103 54.00 CR

Date Mailed: 09/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/22/2002 TV0111 00000002 500591 09903437

FILED UNDER 37 CFR 1.53(b)

01 FC:102 54.00 CR
02 FC:103 54.00 CR

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing. *\$740 effective Oct. 1, 2001*
Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- The balance due by applicant is \$ 970.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

*A copy of this notice **MUST** be returned with the reply.*

Christy Young
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY